



SOUTH COAST AIR QUALITY MANAGEMENT DISTRICT

REQUEST FOR PROPOSALS

MAINTENANCE, SERVICE, AND REPAIRS OF HEATING VENTILATION AIR CONDITIONING (HVAC) AND REFRIGERATION EQUIPMENT

P2019-15

South Coast Air Quality Management District (SCAQMD) requests proposals for the following purpose according to terms and conditions attached. In the preparation of this Request for Proposals (RFP) the words "Proposer," "Contractor," "Consultant," "Bidder" and "Firm" are used interchangeably.

PURPOSE

This Request for Proposals (RFP) is to solicit proposals from qualified Contractors to perform maintenance, service, and repairs on Heating Ventilation Air Conditioning (HVAC) and refrigeration equipment at SCAQMD's headquarters. Contractors must provide evidence of current in house C-20 Heating Ventilation and Air Conditioning and C-38 Refrigeration Contractors license as required by Department of Consumer Affairs Contractors State License Board, **California Code of Regulations Title 16, Division 8, Article 3. Classifications** and all permits required by local, State, and Federal regulations for providing services described herein.

The scope of work shall include, but not be limited to: maintenance, service, and repairs for all HVAC and refrigeration equipment located at the SCAQMD's headquarters.

INDEX - The following are contained in this RFP:

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Attachment A - Participation in the Procurement Process

Attachment B - Certifications and Representations

SECTION I: BACKGROUND/INFORMATION

The South Coast Air Quality Management District (SCAQMD) Diamond Bar Headquarters consists of four interconnected buildings designated as the North Office Tower, South Office Tower, Laboratory, Conference Center/Cafeteria and a separate Child Care Center at the west end of the property. Select buildings utilize HVAC and/or refrigeration equipment requiring maintenance, service, and repairs. The objective of this RFP is to receive proposals from qualified firms that possess a C-20 and C-38 contractor's license for the maintenance service and repairs of SCAQMD's HVAC and refrigeration equipment.

CONTRACT TERM:

This maintenance, service and repair contract term shall be from July 1, 2019 through June 30, 2022. All work shall be performed during SCAQMD's regular working hours unless otherwise specified. All normal maintenance, service, and repairs shall be performed at the straight time rate from 7:00 a.m. to 5:30 p.m., Monday through Friday, excluding weekends and holidays.

SECTION II: CONTACT PERSON:

Questions regarding the content or intent of this RFP or on procedural matters should be addressed to:

Bruce Jacobson
Building Maintenance Manager
 SCAQMD
 21865 Copley Drive
 Diamond Bar, CA 91765-4178
 (909) 396-2289
 (909) 396-3964 Fax
bjacobson@aqmd.gov

Brian Roberts
Building Supervisor
 SCAQMD
 21865 Copley Drive
 Diamond Bar, Ca 91765-4178
 (909) 396-2278
 (909) 396-3964 Fax
broberts@aqmd.gov

SECTION III: SCHEDULE OF EVENTS

Date	Event
March 1, 2019	RFP Released
March 14, 2019	Mandatory Bidder's Conference
April 17, 2019	Proposals Due to SCAQMD - No Later Than 2:00 pm
April 17-23, 2019	Proposal Evaluations
June 7, 2019	Governing Board Approval
July 1, 2019	Anticipated Contract Execution

MANDATORY BIDDER'S CONFERENCE - A bidder's conference will be held on:

Date: March 14, 2019
Time: 10:00 AM
Location: 21865 Copley Dr.
Diamond Bar, CA 91765
Room CC6

Those interested in participating shall make reservations to attend the **Mandatory** Bidder's Conference by calling Vicki Christian at (909) 396-2995.

Proposals will not be accepted from businesses not represented at the **Mandatory** Bidder's Conference.

PRE-BID INQUIRES

All pre-bid inquiries regarding this RFP #P2019-15 must be received via fax or email no later than 3:00 p.m. on February 7, 2019. Questions received after the deadline will not be acknowledged.

SECTION IV: PARTICIPATION IN THE PROCUREMENT PROCESS

It is the policy of SCAQMD to ensure that all businesses including minority business enterprises, women business enterprises, disabled veteran business enterprises and small businesses have a fair and equitable opportunity to compete for and participate in SCAQMD contracts. Attachment A to this RFP contains definitions and further information.

SECTION V: STATEMENT OF WORK

This contract will consist of maintenance, service, and repairs of HVAC and refrigeration equipment within SCAQMD's headquarters.

SECTION VI: REQUIRED QUALIFICATIONS

SCAQMD will enter into a contract with a prime contractor that shall provide evidence of current in house C-20 HVAC and C-38 Refrigeration contractor licenses. Should the prime contractor substitute a subcontractor for any of the responsibilities or obligations covered under this contract without SCAQMD's prior written approval, such substitution will be grounds for termination of the prime contractor.

Contractor shall furnish evidence of Workers Compensation insurance in accordance with California statutory requirements, general liability insurance, and automobile liability insurance in accordance with Provision 9 of the Draft Contract (<http://www.aqmd.gov/grants-bids>).

SECTION VII: PROPOSAL SUBMITTAL REQUIREMENTS

Submitted proposals shall follow the format outlined below and all requested information must be supplied. Failure to submit proposals in the required format and with the requested information will result in elimination from the proposal evaluation process. SCAQMD may modify the RFP or issue supplementary information or guidelines during the proposal preparation period prior to the due date. Please check our website for updates (<http://www.aqmd.gov/grants-bids>). It is the responsibility of each bidder to frequently check SCAQMD's web site for updates and/or addendums.

The cost for developing the proposal is the responsibility of the Contractor and shall not be chargeable to the SCAQMD.

Each proposal must be submitted in three separate volumes and a separate Table of Contents shall be provided for Volumes I and II.

- Volume I - Technical Proposal
- Volume II - Cost Proposal
- Volume III - Certifications and Representations included in Attachment B to this RFP must be completed and executed by an authorized official of the Contractor.

A separate cover letter that includes the name, address, telephone number of the contractor, license number, and DIR certification number signed by the person or persons authorized to represent the Contractor shall accompany the proposal submission.

VOLUME I - TECHNICAL PROPOSAL

DO NOT INCLUDE ANY COST INFORMATION IN THE TECHNICAL VOLUME SUBMITTAL

Summary (Section A) - State overall approach to meeting the objectives and satisfying the Scope of Work to be performed and to include a description of methodology or techniques to be used.

Qualifications (Section B) - Provide a summary of Contractor's background and related experience in performing similar services for other governmental or comparable size organizations. Provide references of other similar projects performed during the last five years demonstrating ability to successfully perform the required maintenance, service and repairs as outlined in the Scope of Work. Reference information shall include company name, address, contact name, title, and telephone number for all references listed. For convenience, there is a fill in list in Section X for this information.

Assigned Personnel (Section C) - Provide the following information about the staff to be assigned to this project:

1. List all key personnel assigned to the project by level, name, title and experience. Provide a resume or similar statement describing the background, qualifications and experience of the lead person assigned to the project. Substitution of the identified lead person will not be permitted without prior written approval from SCAQMD's Building Maintenance Manager or his designee.

2. Provide a statement of education and training programs provided to, or required of, the journey-level technicians identified for participation for this service contract, particularly with reference to the qualified technician that will be on site.
3. Provide a summary the Contractor's general experience to meet all required qualifications to fulfill the scope of work, including additional Contractor personnel and resources beyond those who may be assigned to the project.

Additional Data (Section D) - Provide any other essential data that may assist in the evaluation of this proposal.

VOLUME II - COST PROPOSAL

Name and Address - The Cost Proposal must list the name and complete address of the Proposer in the upper left-hand corner of provided form.

Cost Proposal – SCAQMD anticipates awarding a fixed price contract for the maintenance, service, and repairs of HVAC and refrigeration equipment. Cost information shall be provided as listed below:

1. Detail must be provided by the following categories:
 - A. Labor – The Cost Proposal shall list the fully-burdened hourly rates and the total number of hours estimated for each level of staff used to perform the tasks required by this RFP. Costs should be estimated for each of the components in the Scope of Work.
 - B. Parts Replacement – On the cost proposal sheet, a line item of \$5,000 is included for each fiscal year to be used for replacement parts approved by Building Maintenance Manager or his designee.

VOLUME III - CERTIFICATIONS AND REPRESENTATIONS (see Attachment B to this RFP)

SECTION VIII: PROPOSAL SUBMISSION

All proposals must be submitted according to specifications set forth in the section above, and this section. Failure to adhere to these specifications shall be cause for rejection of the proposal. **Late bids/proposals will not be accepted under any circumstances.**

Signature - All proposals shall be signed by an authorized representative of the Proposer.

Due Date - **All proposals are due no later than 2:00 p.m. on April 17, 2019 and should be directed to:**

Procurement Unit
 South Coast Air Quality Management District
 21865 Copley Drive
 Diamond Bar, CA 91765-4178
 (909) 396-3520

Submittal - Submit five (5) complete copies of the proposal in a sealed envelope, plainly marked in the upper left-hand corner with the name and address of the Proposer and the words "Request for Proposals #P2019-15."

Grounds for Rejection - A proposal may be immediately rejected if:

- It is not prepared in the format described;
- It is signed by an individual not authorized to represent the Contractor.

Modification or Withdrawal - Once submitted, proposals cannot be altered without the prior written consent of SCAQMD. All proposals shall constitute firm offers and may not be withdrawn for a period of ninety (90) days following the last day to accept proposals.

SECTION IX: PROPOSAL EVALUATION/CONTRACTOR SELECTION CRITERIA

- A. Proposals will be evaluated by a panel of three to five SCAQMD staff members familiar with the subject matter of the project. The panel shall be appointed by the Building Maintenance Manager or his designee. In addition, the evaluation panel may include such outside public sector or academic community expertise as deemed desirable by the Building Maintenance Manager or his designee. The panel will make a recommendation to the Executive Officer and/or the Governing Board of SCAQMD for final selection of a contractor and negotiation of a contract.
- B. Each member of the evaluation panel shall be accorded equal weight in his or her rating of proposals. The evaluation panel members shall evaluate the proposals according to the specified criteria and numerical weightings set forth below.

(a) <u>Standardized Services</u>	<u>Points</u>
Understanding of Requirement	25
Contractor Qualifications	25
Past Experience	20
Cost	<u>30</u>
TOTAL:	100
(b) <u>Additional Points</u>	
Small Business or Small Business Joint Venture	10
DVBE or DVBE Joint Venture	10
Use of DVBE or Small Business Subcontractors	7
Low-Emission Vehicle Business	5
Local Business (Non-Federally Funded Projects Only)	5
Off-Peak Hours Delivery Business	2
Most Favored Customer	2

The cumulative points awarded for small business, DVBE, use of small business or DVBE subcontractors, low-emission vehicle business, local business, and off-peak hours delivery business shall not exceed 15 points. Most Favored Customer status incentive points shall be added, as applicable for a total of 17 points.

Self-Certification for Additional Points

The award of these additional points shall be contingent upon Proposer completing the Self-Certification section of Attachment B – Certifications and Representations and/or inclusion of a statement in the proposal self-certifying that Proposer qualifies for additional points as detailed above.

2. To receive additional points in the evaluation process for the categories of Small Business or Small Business Joint Venture, DVBE or DVBE Joint Venture or Local Business (for non-federally funded projects), the proposer must submit a self-certification or certification from the State of California Office of Small Business Certification and Resources at the time of proposal submission certifying that the proposer meets the requirements set forth in Section IV. To receive points for the use of DVBE and/or Small Business subcontractors, at least 25 percent of the total contract value must be subcontracted to DVBEs and/or Small Businesses. To receive points as a Low-Emission Vehicle Business, the proposer must demonstrate to the Executive Officer, or designee, that supplies and materials delivered to SCAQMD are delivered in vehicles that operate on either clean-fuels or if powered by diesel fuel, that the vehicles have particulate traps installed. To receive points as a Local Business, the proposer must affirm that it has an ongoing business within the South Coast AQMD at the time of bid/proposal submittal and that 90% of the work related to the contract will be performed within the South Coast AQMD. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points. Federally funded projects are not eligible for local business incentive points. To receive points as an Off-Peak Hours Delivery Business, the proposer must submit, at proposal submission, certification of its commitment to delivering supplies and materials to SCAQMD between the hours of 10:00 a.m. and 3:00 p.m. To receive points for Most Favored Customer status, the proposer must submit, at proposal submission, certification of its commitment to provide most favored customer status to the SCAQMD. The cumulative points awarded for small business, DVBE, use of Small Business or DVBE Subcontractors, Local Business, Low-Emission Vehicle Business and Off-Peak Hour Delivery Business shall not exceed 15 points.
 3. The lowest cost proposal will be awarded the maximum cost points available and all other cost proposals will receive points on a prorated basis. For example if the lowest cost proposal is \$1,000 and the maximum points available are 30 points, this proposal would receive the full 30 points. If the next lowest cost proposal is \$1,100 it would receive 27 points reflecting the fact that it is 10% higher than the lowest cost (90% of 30 points = 27 points).
- C. During the selection process the evaluation panel may wish to interview some proposers for clarification purposes only. No new material will be permitted at this time.

Additional information provided during the bid review process is limited to clarification by the Proposer of information presented in his/her proposal, upon request by SCAQMD.

- D. The Executive Officer or Governing Board may award the contract to a Proposer other than the Proposer receiving the highest rating in the event the Governing Board determines that another Proposer from among those technically qualified would provide the best value to SCAQMD considering cost and technical factors. The determination shall be based solely on the Evaluation Criteria contained in the Request for Proposal (RFP), on evidence provided in the proposal and on any other evidence provided during the bid review process.
- E. Selection will be made based on the above-described criteria and rating factors. The selection will be made by and is subject to Executive Officer or Governing Board approval. Proposers may be notified of the results by letter.
- F. The Governing Board has approved a Bid Protest Procedure which provides a process for a Bidder or prospective Bidder to submit a written protest to SCAQMD Procurement Manager in recognition of two types of protests: Protest Regarding Solicitation and Protest Regarding Award of a Contract. Copies of the Bid Protest Policy can be secured through a request to SCAQMD Procurement Department.
- G. The Executive Officer or Governing Board may award contracts to more than one proposer if in (his or their) sole judgment the purposes of the (contract or award) would best be served by selecting multiple proposers.
- H. If additional funds become available, the Executive Officer or Governing Board may increase the amount awarded. The Executive Officer or Governing Board may also select additional proposers for a grant or contract if additional funds become available.
- I. Disposition of Proposals – Pursuant to SCAQMD's Procurement Policy and Procedure, SCAQMD reserves the right to reject any or all proposals. All proposals become the property of SCAQMD, and are subject to the California Public Records Act. One copy of the proposal shall be retained for SCAQMD files. Additional copies and materials will be returned only if requested and at the proposer's expense.
- J. **If proposal submittal is for a Public Works project as defined by State of California Labor Code Section 1720, Proposer is required to include Contractor Registration No. in Attachment B. Proposal submittal will be deemed as non-responsive and Bidder may be disqualified if Contractor Registration No. is not included in Attachment B. Proposer is alerted to changes to California Prevailing Wage compliance requirements as defined in Senate Bill 854 (Stat. 2014, Chapter 28), and California Labor Code Sections 1770, 1771 and 1725.**
- K. PERFORMANCE AND PAYMENT BONDS
Before execution of the Contract, the Contractor shall file surety bonds in the amounts and for the purpose specified in the Request for Proposal (RFP). Bonds shall be issued by a surety who is listed in the latest version of U.S. Department of Treasury Circular 570, who is authorized to issue bonds in California, and whose bonding limitation shown in said circular is sufficient to provide bonds in the amount required by the Contract shall be approved by SCAQMD. Bonds from all other sureties shall be accompanied by all of the documents enumerated in the Code of Civil Procedure, Section 995.660a).

Each bond shall incorporate, by reference, the Contract and be signed by both the Bidder and Surety. The signature of the authorized agent of the Surety shall be notarized. The Contractor shall provide two (2) good and sufficient surety bonds.

PERFORMANCE BOND - For contracts exceeding \$75,000

The Performance Bond shall be for 100 percent of the Contract Price to guaranty faithful performance of all work, within the time prescribed, in a manner satisfactory to SCAQMD, and that all materials and workmanship will be free from original or developed defects. The bond must remain in effect until the end of all warranty periods as set forth in the Contract Documents

The selected Contractor shall be required to furnish and pay all bond premiums, costs and incidentals listed below.

Should any bond become insufficient, the Contractor shall renew the bond within 10 Days after receiving notice from SCAQMD.

Should any surety at any time be unsatisfactory to SCAQMD, notice to the effect will be given to the Contractor. No further payments shall be deemed due or will be made under the Contract until a new surety qualifies and is accepted by SCAQMD.

Changes in the Project or extension of time, made pursuant to the Contract, shall in no way release the Contractor or Surety from the obligation. Notice of such changes or extensions shall be waived by the Surety.

PAYMENT BOND - For contracts exceeding \$25,000

Within fourteen days after execution of the Contract by SCAQMD and prior to performing any work under the Contract, the CONTRACTOR shall file with SCAQMD, a Payment Bond (material and labor bond) in an amount equal to 100 percent of the contract price, to satisfy claims of material suppliers and of mechanics and laborers employed by the Contractor to perform the work.

The Payment Bond shall be not for less than 100 percent of the Contract price, to satisfy claims of material suppliers and mechanics and laborers employed on the Project. The Bond shall be maintained by the Contractor in full force and effect until the performance of the Contract is accepted by SCAQMD and until all claims for materials and labor are paid, and otherwise comply with the Civil Code. Contractor shall provide SCAQMD with Conditional Lien Releases with each payment request and Unconditional Lien Releases for the final payment for all material suppliers, mechanics and laborers employed on the Project.

1. **UNSATISFACTORY SURETIES** - Should any Surety, at any time, be deemed unsatisfactory by SCAQMD, notice will be given to the Contractor to that effect. No further payments shall be deemed due, or will be made under the Contract until a new Surety shall qualify and be accepted by SCAQMD.
2. **EFFECT OF CHANGES IN THE WORK/EXTENSIONS OF TIME ON THE SURETY**
Changes in the work, or extensions of time, made pursuant to the Contract, shall in no way release the Contractor or the Surety from their obligations under the bond. Notice of such changes or extensions shall be waived by the Surety.

SECTION X: SCOPE OF WORK

This contract will consist of the maintenance, service, and repairs of HVAC and all refrigeration equipment at SCAQMD's headquarters. The HVAC equipment is located in the Information Management server room on the lower level, GB conference room, the child care center, and the Auditorium technician's office. Refrigeration equipment is located in the cafeteria and two ice machines are located in SCAQMD's laboratory.

Contractor shall inspect, maintain, service, perform minor repairs and change filters on a monthly basis, as necessary, per the Scope of Work and equipment manufacturer's recommendations. Each monthly visit shall consist of a minimum one journey-level service technician to inspect, maintain, and service equipment, and perform minor repairs, as necessary. All requested temperature, pressure, and voltage readings recorded during each monthly service shall be submitted in report format with monthly invoice. Contractor shall provide all necessary HVAC equipment filters.

Extra work or major repairs not covered by the regular monthly maintenance contract shall require a written estimate of all parts and labor for approval by SCAQMD's Building Maintenance Manager or his designee prior to commencing with repairs.

SCAQMD requires all personnel working on SCAQMD's premises to wear uniforms or some type of identification supplied by the Contractor. SCAQMD also requires Contractor and all employees of the Contractor to sign in and sign out in the Contractor Log Book located at the Main Security Desk, and the Building Maintenance Log Book located in the Building Maintenance Office upon arrival to and departure from SCAQMD property. When the service has been completed, the technician shall supply a detailed report identifying all service and maintenance completed at the facility prior to leaving.

Contractor shall provide journey-level service technicians trained in maintenance, service, and repair of HVAC and refrigeration equipment. Service technicians shall be equipped with all necessary field diagnostic and service tools required for HVAC and refrigeration maintenance, service, and repairs. Service technicians shall be employed and supervised by the Contractor.

SERVICE, MAINTENANCE, AND REPAIR

All service, maintenance, and repair work shall be performed from 7:00 a.m. to 5:30 p.m., Monday through Friday, excluding weekends and holidays.

EXTRA WORK

New or unforeseen repairs shall be classified as Extra Work. SCAQMD's Building Maintenance Manager or his designee shall determine if requested Extra Work is covered under the contract intent.

The following percentages may be added to the Contractor's direct costs and shall constitute the allowable markup for all overhead and profit:

- | | | |
|----|-----------------------|-----|
| a) | Materials..... | 15% |
| b) | Equipment Rental..... | 15% |

EQUIPMENT AND MAINTENANCE MATRIX**COMPUTER ROOM - DX Chill Water Air Handlers - Four (4)**

1. **Complete System**
 - a. Check operation and condition
 - b. Check for unusual noise and/or vibration
 - c. Make necessary adjustments for proper operation of system
 - d. Check all electrical connections
2. **Cooling System Condenser**
 - a. Clean condenser coil
 - b. Check discharge/suction pressure and record
 - c. Check high/low pressure control for operation and record
3. **Refrigerant System (each unit)**
 - a. Check system for leaks
 - b. Check refrigerant charge and record
 - c. Check refrigerant controls (TXV and solenoid valve, etc) and record
 - d. Clean and inspect cooling coils
 - e. Check all refrigerant piping for rubbing
4. **Chilled Water System (each unit)**
 - a. Check all chilled water piping on each unit for water leaks and/or vibration and record findings
 - b. Operate all chilled water ball valves and record
 - c. Check all chilled water three-way valves for operation and record
 - d. Check all inline strainers; clean or replace, as needed, on a quarterly basis
 - e. Check chilled water temperature (supply and return) and record findings
5. **Heating System**
 - a. Check electrical resistance heater and operation
 - b. Provide amp recording
 - c. Check safety control operation
6. **Controls**
 - a. Check thermostat operation and record settings
 - b. Check thermostat adjustments and record
 - c. Check electrical components and connections (motor, relays, starters, and other electrical components)
7. **Fan Coil**
 - a. Check and adjust or replace fan belts, as needed
 - b. Record blower motor amps
 - c. Clean evaporator coil and record
8. **Condensing Water System**
 - a. Check both condensing water piping systems on each unit for water leaks and vibration and record findings

- b. Operate all condensing water ball valves and butterfly valves and record findings
- c. Check Penn Johnson water regulating valve for operation and record findings
- d. Check condensing water temperatures (supply and return) and record findings

9. Condensate Drain System

- a. Clean and check condensate drain pan
- b. Clean and check condensate drain line and record
- c. Clean condensate floor sink

10. Check and Record Filter Condition

- a. Provide and change out all filters on a quarterly basis

PRINTSHOP - Chilled Water Air Handler - One (1)

1. Complete System

- a. Check operation and condition
- b. Check for unusual noise and/or vibration
- c. Make necessary adjustments for proper operation of system
- d. Check all electrical connections

2. Chilled Water System

- a. Check all chilled water piping on each unit for water leaks and/or vibration and record findings
- b. Operate all chilled water ball valves and record
- c. Check all chilled water three-way valves for operation and record
- d. Check all inline strainers; clean or replace, as needed, on a quarterly basis
- e. Check chilled water temperature (supply and return) and record findings

3. Heating System

- a. Check electrical resistance heater and operation
- b. Provide amp recording

4. Controls

- a. Check thermostat operation and record settings
- b. Check and adjust thermostat, as required, to maintain proper operating temperature and record
- c. Check electrical components and connections (motor, relays, starters, and other electrical components)

5. Fan Coil

- a. Check and adjust or replace fan belts, as needed
- b. Record blower motor amps
- c. Clean evaporator coil and record

6. Condensate Drain System

- a. Clean and check condensate drain pan
- b. Clean and check condensate drain line and record
- c. Clean condensate floor sink

7. Check and Record Filter Condition

- a. Provide and change all filters on a quarterly basis

STOCKROOM - Chilled Water Air Handler - One (1)**1. Complete System**

- a. Check operation and condition
- b. Check for unusual noise and/or vibration
- c. Make necessary adjustments for proper operation of system
- d. Check all electrical connections

2. Chilled Water System

- a. Check all chilled water piping on each unit for water leaks and/or vibration and record findings
- b. Operate all chilled water ball valves and record
- c. Check all chilled water three-way valves for operation and record
- d. Check all inline strainers; clean or replace, as needed, on a quarterly basis
- e. Check chilled water temperature (supply and return) and record findings

3. Heating System

- a. Check electrical resistance heater and operation
- b. Provide amp recording

4. Controls

- a. Check thermostat operation and record settings
- b. Check and adjust thermostat, as required, to maintain proper operating temperature and record
- c. Check electrical components and connections (motor, relays, starters, and other electrical components)

5. Fan Coil

- a. Check and adjust or replace fan belts as needed
- b. Record blower motor amps
- c. Clean evaporator coil and record

6. Condensate Drain System

- a. Clean and check condensate drain pan
- b. Clean and check condensate drain line and record

7. Check and Record Filter Condition

- a. Provide and change all filters on a quarterly basis

GB Conference Center - Lennox Heat Pumps Model LSA120P-1G - Two (2), Lennox Air Handler, Model CB17-275V-1 - One (1), Greenheck Return Fan - One (1)

Please note the Lennox Air Handler is on the floor level and Greenheck Return Fan is located 10' above the air handler

1. Complete System:

- a. Check operation and condition

- b. Check for unusual noise and/or vibration
- c. Make necessary adjustments for proper operation of system
- d. Check all electrical connections
- e. Check discharge/suction pressures and record
- f. Check high/low pressure controls for operation and record

2. Refrigerant System

- a. Check system for leaks
- b. Check refrigerant charge and record
- c. Check refrigerant controls (TXV and solenoid valve, etc) and record
- d. Clean and inspect cooling coils
- e. Check all refrigerant piping for chafing

3. Controls

- a. Check electrical components and connections (motor, relays, starters, and other electrical components)

4. Fan Coil

- a. Check and adjust or replace fan belts as required for proper operation
- b. Record blower motor amps
- c. Clean evaporator coil and record
- d. Lube bearings as required by the manufacturer

5. Condensate Drain System

- a. Clean and check condensate drain pan
- b. Clean and check condensate drain line and record

6. Check and Record Filter Condition

- a. Provide and change all filters on a quarterly basis

AUDIO VISUAL ROOM - Fujitsu Ductless Mini-Split System - One (1)

1. Complete System:

- a. Check operation and condition
- b. Check for unusual noise and/or vibration
- c. Make necessary adjustments for proper operation of system
- d. Check all electrical connections

2. Cooling System Compressor

- a. Check suction pressure and record
- b. Clean condensing unit

3. Refrigerant System

- a. Check system for leaks
- b. Check refrigerant charge and record
- c. Check refrigerant controls (TXV and solenoid valve, etc) and record
- d. Clean and inspect cooling coils
- e. Check all refrigerant piping for chafing

4. Controls

- a. Check thermostat for proper operation and record settings
- b. Check thermostat adjustments and record
- c. Check electrical components and connections (motor, relays, starters, and other electrical components)

5. Fan Coil

- a. Clean evaporator coil and record

6. Condensate Drain System

- a. Clean and check condensate drain pan
- b. Clean and check condensate drain line and record

7. Check and Record Filters Condition

- a. Wash filters quarterly or as needed

TOWN & COUNTRY PRESCHOOL & INFANT CENTER - Trane Air Handlers with Evaporator Coil and Condensing Units - Six (6)**1. Complete System**

- a. Check operation and condition
- b. Check for unusual noise and/or vibration
- c. Make necessary adjustments for proper operation of system
- d. Check all electrical connections

2. Cooling System Compressor

- a. Check discharge/suction pressure and record
- b. Check high/low pressure control for operation and record

3. Refrigerant System

- a. Check system for leaks
- b. Check refrigerant charge and record
- c. Check refrigerant controls (TXV and solenoid valve, etc) and record
- d. Clean and inspect cooling coils
- e. Check all refrigerant piping for chafing

4. Heating System

- a. Check general condition of unit heater and operation
- b. Check fire box
- c. Provide amp recordings of blower motor
- d. Check safety control operation

5. Controls

- a. Check thermostat operation and record settings
- b. Check thermostat adjustments and record
- d. Check electrical components and connections (motor, relays, starters, and other electrical components)

6. Condensate Drain System

- a. Clean and check condensate drain line and record

7. Check and Record Filter Condition

- a. Provide and change all filters on a quarterly basis

SIGNAL ROOM (LOWER LEVEL, NORTH TOWER) - Portable AC Unit - One (1)

1. Complete System

- a. Check operation and condition
- b. Check for unusual noise and/or vibration
- c. Make necessary adjustments for proper operation of system
- d. Check all electrical connections

2. Refrigerant System

- a. Check system for leaks
- b. Check refrigerant charge and record
- c. Check refrigerant controls (TXV and solenoid valve, etc) and record
- d. Clean and inspect cooling coils
- e. Check all refrigerant piping for chafing

3. Controls

- a. Check thermostat operation and record settings
- b. Check thermostat adjustments and record
- c. Check electrical components and connections (motor, relays, starters, and other electrical components)

4. Fan Coil

- a. Record blower motor amps
- b. Clean evaporator coil and record

5. Condensate Drain System

- a. Clean and check condensate drain pan
- b. Clean and remove any water in five-gallon bucket

6. Check and Record Filter Condition

- a. Provide and change all filters on a quarterly basis

KITCHEN - Walk-In Freezer - One (1)

1. Complete System

- a. Check operation and condition
- b. Check for unusual noise and/or vibration
- c. Make necessary adjustments for proper operation of system
- d. Check all electrical connections

2. Cooling System Compressor

- a. Check oil level and pressure and record
- b. Check discharge/suction pressure and record
- c. Check high/low pressure control for operation and record

3. Cooling System Condenser

- a. Clean condenser coil
- b. Clean condensing unit and surrounding areas
- c. Check discharge/suction pressure and record
- d. Check high/low pressure control for operation and record

4. Refrigerant System

- a. Check system for leaks
- b. Check refrigerant charge and record
- c. Check refrigerant controls (TXV and solenoid valve, etc) and record
- d. Clean and inspect cooling coils
- e. Check all refrigerant piping for chafing

5. Controls

- a. Check thermostat operation and record settings
- b. Check and adjust thermostat, as required, to maintain proper operating temperature and record
- c. Check electrical components and connections (motor, relays, starters, and other electrical components)
- d. Check defrost controls for proper operation

6. Fan Coil

- a. Check evaporator fans and record amps
- b. Clean evaporator coil and record

7. Condensate Drain System

- a. Clean and check condensate drain pan
- b. Clean and check condensate drain line and record
- c. Clean condensate floor sink
- d. Check condensate drain line ribbon heater and record the amps
- e. Check defrost heater and record the amps

8. Check Entry Door into Walk-In Freezer

- a. Check door closer and adjust as needed for proper operation
- b. Check door frame heater for operation
- c. Check door gaskets and alignment

KITCHEN - Walk-In Refrigerators - Three (3)**1. Complete System:**

- a. Check operation and condition
- b. Check for unusual noise and/or vibration
- c. Make necessary adjustments for proper operation of system
- d. Check all electrical connections

2. Cooling System Compressor

- a. Check oil level and pressure and record

- b. Check discharge/suction pressure and record
- c. Check high/low pressure control for operation and record

3. Cooling System Condenser

- a. Clean condenser coil
- b. Clean condensing unit and surrounding areas
- c. Check discharge/suction pressure and record
- d. Check high/low pressure control for operation and record

4. Refrigerant System

- a. Check system for leaks
- b. Check refrigerant charge and record
- c. Check refrigerant controls (TXV and solenoid valve, etc) and record
- d. Clean and inspect cooling coils
- e. Check all refrigerant piping for chafing
- f. Check electrical components and connections (motor, relays, starters, and other electrical components)

5. Controls

- a. Check thermostat for proper operation and record settings
- b. Check and adjust thermostat, as required, to maintain proper operating temperature and record
- c. Check electrical components and connections (motor, relays, starters, and other electrical components)

6. Fan Coil

- a. Check evaporator fan and record amps
- b. Clean evaporator coil and record

7. Condensate Drain System

- a. Clean and check condensate drain pan
- b. Clean and check condensate drain line and record
- c. Clean condensate floor sink

8. Check Entry Door into Walk-in Refrigerator

- a. Check door closer; adjust, as needed, for proper operation
- b. Check door gaskets and alignment

KITCHEN (GRILL AREA) – Double-Door Reach-In Refrigerator - One (1)

1. Complete System:

- a. Check operation and condition
- b. Check for unusual noise and/or vibration
- c. Make necessary adjustments for proper operation of system
- d. Check all electrical connections

2. Cooling System Compressor

- a. Check oil level and pressure and record

- b. Check discharge/suction pressure and record
- c. Check high/low pressure control for operation and record

3. Refrigerant System

- a. Check system for leaks
- b. Check refrigerant charge and record
- c. Check refrigerant controls (TXV and solenoid valve, etc) and record
- d. Clean and inspect cooling coils
- e. Check all refrigerant piping for chafing

4. Controls

- a. Check thermostat for proper operation and record settings
- b. Check and adjust thermostat, as required, to maintain proper operating temperature and record
- c. Check electrical components and connections (motor, relays, starters, and other electrical components)

5. Fan Coil

- a. Record blower motor amps
- b. Clean evaporator coil and record

6. Condensate Drain System

- a. Clean and check condensate drain pan
- b. Clean and check condensate drain line and record
- c. Clean condensate floor sink

7. Clean Condensing Unit and Surrounding Area

8. Check Double-Door Gaskets

- a. Align, as necessary, to maintain a positive seal

KITCHEN - Manitowoc Ice Machine (Cube) - One (1)

1. Complete System:

- a. Check operation and condition
- b. Check for unusual noise and/or vibration
- c. Make necessary adjustments for proper operation of system
- d. Check all electrical connections

2. Cooling System Compressor

- a. Check discharge/suction pressure and record

3. Refrigerant System

- a. Check system for leaks
- b. Check refrigerant charge and record
- c. Check refrigerant controls (TXV and solenoid valve, etc) and record
- d. Clean and inspect cooling coils
- e. Check all refrigerant piping for chafing

4. Controls

- a. Check thermostat for proper operation and record settings
- b. Check and adjust thermostat, as required, to maintain proper operating temperature and record
- c. Check electrical components and connections (motor, relays, starters, and other electrical components)

5. Sanitize evaporator and bin box (quarterly)

- a. Clean all areas of the ice machine
- b. Save the top (newest) 50% of ice by placing into buckets; discard the bottom (oldest) 50% of ice
- c. Sanitize evaporator and bin box
- d. Clean all areas of the ice machine
- e. Test and monitor ice machine for operation and record
- f. Return the reserved (newest) 50% of ice back into ice bin
- g. Test and monitor ice machine for operation and record

KITCHEN - Manitowoc Ice Machine (Flake) - One (1)**Complete System:**

- a. Check operation and condition
- b. Check for unusual noise and/or vibration
- c. Make necessary adjustments for proper operation of system
- d. Check all electrical connections

2. Cooling System Compressor

- a. Check discharge/suction pressure and record

3. Refrigerant System

- a. Check system for leaks
- b. Check refrigerant charge and record
- c. Check refrigerant controls (TXV and solenoid valve, etc) and record
- d. Clean and inspect cooling coils
- e. Check all refrigerant piping for chafing

4. Controls

- a. Check thermostat for proper operation and record settings
- b. Check and adjust thermostat as required to maintain proper operating temperature and record
- c. Check electrical components and connections (motor, relays, starters, and other electrical components)

5. Sanitize Evaporator and Bin Box (Quarterly)

- a. Clean all areas of the ice machine
- b. Save the top (newest) 50% of ice by placing into buckets; discard the bottom (oldest) 50% of ice
- c. Sanitize evaporator and bin box
- d. Clean all areas of the ice machine
- e. Return the reserved (newest) 50% of ice back into ice bin

- f. Test and monitor ice machine and auger for proper operation and record

KITCHEN - Hobart Two-Door Reach-In Refrigerator - One (1)

1. **Complete System**
 - a. Check operation and condition
 - b. Check for unusual noise and/or vibration
 - c. Make necessary adjustments for proper operation of system
 - d. Check all electrical connections
2. **Cooling System Condenser**
 - a. Clean condenser coil
 - b. Check discharge/suction pressure and record
3. **Refrigerant System**
 - a. Check system for leaks
 - b. Check refrigerant charge and record
 - c. Check refrigerant controls (TXV and solenoid valve, etc) and record
 - d. Clean and inspect cooling coils
 - e. Check all refrigerant piping for chafing
4. **Controls**
 - a. Check thermostat operation and record settings
 - b. Check and adjust thermostat, as required, to maintain proper operating temperature and record
 - c. Check electrical components and connections (motor, relays, starters, and other electrical components)
5. **Fan Coil Evaporator**
 - a. Check fan motor and blade
 - b. Record fan motor amps
 - c. Clean evaporator coil and record
6. **Condensate Drain System**
 - a. Clean and check condensate drain pan
 - b. Clean and check condensate drain line and record
 - c. Clean condensate floor sink

KITCHEN - Traulsen Combination Refrigerator/Freezer - Two (2)

All steps shall apply to both refrigeration and freezer units

1. **Complete System**
 - a. Check operation and condition
 - b. Check for unusual noise and/or vibration
 - c. Make necessary adjustments for proper operation of system
 - d. Check all electrical connections

2. Cooling System Condenser

- a. Clean condenser coil
- b. Check discharge/suction pressure and record

3. Refrigerant System

- a. Check system for leaks
- b. Check refrigerant charge and record
- c. Check refrigerant controls (TXV and solenoid valve, etc) and record
- d. Clean and inspect cooling coils
- e. Check all refrigerant piping for chafing

4. Controls

- a. Check thermostat operation and record settings
- b. Check and adjust thermostat, as required, to maintain proper operating temperature and record
- c. Check electrical components and connections (motor, relays, starters, and other electrical components)

5. Fan Coil Evaporator

- a. Check fan motor and blade
- b. Record fan motor amps
- c. Clean evaporator coil and record

6. Condensate Drain System

- a. Clean and check condensate drain pan
- b. Clean and check condensate drain line and record
- c. Clean condensate floor sink

KITCHEN - True Sliding Door Beverage Cooler - One (1)**1. Complete System**

- a. Check operation and condition
- b. Check for unusual noise and/or vibration
- c. Make necessary adjustments for proper operation of system
- d. Check all electrical connections

2. Cooling System Compressor

- a. Clean condenser
- b. Check discharge/suction pressure and record

3. Refrigerant System

- a. Check system for leaks
- b. Check refrigerant charge and record
- c. Check refrigerant controls (TXV and solenoid valve, etc) and record
- d. Clean and inspect cooling coils
- e. Check all refrigerant piping for chafing

4. Controls

- a. Check thermostat operation and record settings

- b. Check and adjust thermostat, as required, to maintain proper operating temperature and record
- c. Check electrical components and connections (motor, relays, starters, and other electrical components)

5. Fan Coil Evaporator

- a. Check fan motor and blade
- b. Record fan motor amps
- c. Clean evaporator coil and record

6. Condensate Drain System

- a. Clean and check condensate drain pan
- b. Clean and check condensate drain line and record
- c. Clean condensate floor sink

LABORATORY - Scotsman Prodigy Ice Machine (Flake) - One (1)

Complete System:

- a. Check operation and condition
- b. Check for unusual noise and/or vibration
- c. Make necessary adjustments for proper operation of system
- d. Check all electrical connections

2. Cooling System Compressor

- a. Check discharge/suction pressure and record

3. Refrigerant System

- a. Check system for leaks
- b. Check refrigerant charge and record
- c. Check refrigerant controls (TXV and solenoid valve, etc.) and record
- d. Clean and inspect cooling coils
- e. Check all refrigerant piping for chafing

4. Controls

- a. Check thermostat for proper operation and record settings
- b. Check and adjust thermostat, as required, to maintain proper operating temperature and record
- c. Check electrical components and connections (motor, relays, starters, and other electrical components)

5. Sanitize Evaporator and Bin Box (Quarterly)

- a. Clean all areas of the ice machine
- b. Save the top (newest) 50% of the ice by placing into buckets; discard the bottom (oldest) 50% of ice
- c. Sanitize evaporator and bin box
- d. Clean all areas of the ice machine
- e. Return the reserved (newest) 50% of ice back into ice bin
- f. Test and monitor ice machine and auger for proper operation and record

LABORATORY - Kold Draft Ice Machine (Cube) - One (1)**Complete System:**

- a. Check operation and condition
- b. Check for unusual noise and/or vibration
- c. Make necessary adjustments for proper operation of system
- d. Check all electrical connections

2. Cooling System Compressor

- a. Check discharge/suction pressure and record

3. Refrigerant System

- a. Check system for leaks
- b. Check refrigerant charge and record
- c. Check refrigerant controls (TXV and solenoid valve, etc.) and record
- d. Clean and inspect cooling coils
- e. Check all refrigerant piping for chafing

4. Controls

- a. Check thermostat for proper operation and record settings
- b. Check and adjust thermostat, as required, to maintain proper operating temperature and record
- c. Check electrical components and connections (motor, relays, starters, and other electrical components)

5. Sanitize Evaporator and Bin Box (Quarterly)

- a. Clean all areas of the ice machine
- b. Save the top (newest) 50% of the ice by placing into buckets; discard the bottom (oldest) 50% of ice
- c. Sanitize evaporator and bin box
- d. Clean all areas of the ice machine
- e. Return the reserved (newest) 50% of ice back into ice bin
- f. Test and monitor ice machine and auger for proper operation and record

SECTION XI: COST PROPOSAL

Maintenance, service, and repairs of Heating Ventilation Air Conditioning and Refrigeration equipment shall be done in accordance with provisions of the RFP and Scope of Work.

SUMMARY OF COSTS

Balance Fiscal Year 2019-20

Cost Per Month	\$ _____
Parts not covered by the Scope of Work	\$ _____ 5,000
Annual Cost	\$ _____

Second Contract Fiscal Year 2020-21

Cost Per Month	\$ _____
Parts not covered by the Scope of Work	\$ _____ 5,000
Annual Cost	\$ _____

Third Contract Fiscal Year 2021-22

Cost Per Month	\$ _____
Parts not covered by the Scope of Work	\$ _____ 5,000
Annual Cost	\$ _____

<u>TOTAL THREE YEAR TOTAL COST</u>	\$ _____
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Labor Rate for Extra Work

Journey-Level Worker	Straight Time Rate	Over-Time Rate
	\$ _____	\$ _____
Apprentice-Level Worker	Straight Time Rate	Over-Time Rate
	\$ _____	\$ _____

**MAINTENANCE, SERVICE, AND REPAIRS OF HEATING VENTILATION
AIR CONDITIONING AND REFRIGERATION EQUIPMENT**

TO: South Coast Air Quality Management District
21865 Copley Drive
Diamond Bar, CA 91765

Attention: Procurement Manager

The undersigned, having carefully examined SCAQMD's RFP and specifications, attached hereto, hereby proposed and agrees to furnish all necessary labor, materials, equipment, and any other incidentals necessary to provide the maintenance, service, and repairs of heating ventilation air conditioning and refrigeration equipment in strict conformity with the specification described within this RFP for the stipulated sum of:

\$ _____
_____(Dollars_____)

Company Name_____

Company Address_____

Telephone No._____

Fax No._____

Title_____

Authorized Signature_____

Authorized by _____
(Print Name)

REFERENCES

Please provide five client references for which your company provides services to similar to the scope of services described in this RFP.

1. Company Name: _____
Address: _____
Contact Person: _____
Phone Number: _____ Fax Number: _____
Cell Number: _____ E-mail address: _____
2. Company Name: _____
Address: _____
Contact Person: _____
Phone Number: _____ Fax Number: _____
Cell Number: _____ E-mail address: _____
3. Company Name: _____
Address: _____
Contact Person: _____
Phone Number: _____ Fax Number: _____
Cell Number: _____ E-mail address: _____
4. Company Name: _____
Address: _____
Contact Person: _____
Phone Number: _____ Fax Number: _____
Cell Number: _____ E-mail address: _____
5. Company Name: _____
Address: _____
Contact Person: _____
Phone Number: _____ Fax Number: _____
Cell Number: _____ E-mail address: _____

SECTION XII: SAMPLE CONTRACT

A sample contract to carry out the work described in this RFP is available on SCAQMD's website at <http://www.aqmd.gov/grants-bids> or upon request from the RFP Contact Person (Section II).

ATTACHMENT A

PARTICIPATION IN THE PROCUREMENT PROCESS

- A. It is the policy of South Coast Air Quality Management District (SCAQMD) to ensure that all businesses including minority business enterprises, women business enterprises, disabled veteran business enterprises and small businesses have a fair and equitable opportunity to compete for and participate in SCAQMD contracts.

B. Definitions:

The definition of minority, women or disadvantaged business enterprises set forth below is included for purposes of determining compliance with the affirmative steps requirement described in Paragraph G below on procurements funded in whole or in part with federal grant funds which involve the use of subcontractors. The definition provided for disabled veteran business enterprise, local business, small business enterprise, low-emission vehicle business and off-peak hours delivery business are provided for purposes of determining eligibility for point or cost considerations in the evaluation process.

1. "Women business enterprise" (WBE) as used in this policy means a business enterprise that meets all of the following criteria:
 - a. a business that is at least 51 percent owned by one or more women, or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more women.
 - b. a business whose management and daily business operations are controlled by one or more women.
 - c. a business which is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign-based business.
2. "Disabled veteran" as used in this policy is a United States military, naval, or air service veteran with at least 10 percent service-connected disability who is a resident of California.
3. "Disabled veteran business enterprise" (DVBE) as used in this policy means a business enterprise that meets all of the following criteria:
 - a. is a sole proprietorship or partnership of which at least 51 percent is owned by one or more disabled veterans or, in the case of a publicly owned business, at least 51 percent of its stock is owned by one or more disabled veterans; a subsidiary which is wholly owned by a parent corporation but only if at least 51 percent of the voting stock of the parent corporation is owned by one or more disabled veterans; or a joint venture in which at least 51 percent of the joint venture's management and control and earnings are held by one or more disabled veterans.

- b. the management and control of the daily business operations are by one or more disabled veterans. The disabled veterans who exercise management and control are not required to be the same disabled veterans as the owners of the business.
 - c. is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, firm, or other foreign-based business.
- 4. "Local business" as used in this policy means a company that has an ongoing business within geographical boundaries of SCAQMD at the time of bid or proposal submittal and performs 90% of the work related to the contract within the geographical boundaries of SCAQMD and satisfies the requirements of subparagraph H below. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points.
- 5. "Small business" as used in this policy means a business that meets the following criteria:
 - a. 1) an independently owned and operated business; 2) not dominant in its field of operation; 3) together with affiliates is either:
 - A service, construction, or non-manufacturer with 100 or fewer employees, and average annual gross receipts of ten million dollars (\$10,000,000) or less over the previous three years, or
 - A manufacturer with 100 or fewer employees.
 - b. Manufacturer means a business that is both of the following:
 - 1) Primarily engaged in the chemical or mechanical transformation of raw materials or processed substances into new products.
 - 2) Classified between Codes 311000 and 339000, inclusive, of the North American Industrial Classification System (NAICS) Manual published by the United States Office of Management and Budget, 2007 edition.
- 6. "Joint ventures" as defined in this policy pertaining to certification means that one party to the joint venture is a DVBE or small business and owns at least 51 percent of the joint venture.
- 7. "Low-Emission Vehicle Business" as used in this policy means a company or contractor that uses low-emission vehicles in conducting deliveries to SCAQMD. Low-emission vehicles include vehicles powered by electric, compressed natural gas (CNG), liquefied natural gas (LNG), liquefied petroleum gas (LPG), ethanol, methanol, hydrogen and diesel retrofitted with particulate matter (PM) traps.
- 8. "Off-Peak Hours Delivery Business" as used in this policy means a company or contractor that commits to conducting deliveries to SCAQMD during off-peak traffic hours defined as between 10:00 a.m. and 3:00 p.m.

9. "Benefits Incentive Business" as used in this policy means a company or contractor that provides janitorial, security guard or landscaping services to SCAQMD and commits to providing employee health benefits (as defined below in Section VIII.D.2.d) for full time workers with affordable deductible and co-payment terms.

10. "Minority Business Enterprise" as used in this policy means a business that is at least 51 percent owned by one or more minority person(s), or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more or minority persons.

a. a business whose management and daily business operations are controlled by one or more minority persons.

b. a business which is a sole proprietorship, corporation, or partnership with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign-based business.

c. "Minority person" for purposes of this policy, means a Black American, Hispanic American, Native-American (including American Indian, Eskimo, Aleut, and Native Hawaiian), Asian-Indian (including a person whose origins are from India, Pakistan, and Bangladesh), Asian-Pacific-American (including a person whose origins are from Japan, China, the Philippines, Vietnam, Korea, Samoa, Guam, the United States Trust Territories of the Pacific, Northern Marianas, Laos, Cambodia, and Taiwan).

11. "Most Favored Customer" as used in this policy means that the SCAQMD will receive at least as favorable pricing, warranties, conditions, benefits and terms as other customers or clients making similar purchases or receiving similar services.

12. "Disadvantaged Business Enterprise" as used in this policy means a business that is an entity owned and/or controlled by a socially and economically disadvantaged individual(s) as described by Title X of the Clean Air Act Amendments of 1990 (42 U.S.C. 7601 note) (10% statute), and Public Law 102-389 (42 U.S.C. 4370d)(8% statute), respectively;

a Small Business Enterprise (SBE);

a Small Business in a Rural Area (SBRA);

a Labor Surplus Area Firm (LSAF); or

a Historically Underutilized Business (HUB) Zone Small Business Concern, or a concern under a successor program.

C. Under Request for Quotations (RFQ), DVBEs, DVBE business joint ventures, small businesses, and small business joint ventures shall be granted a preference in an amount equal to 5% of the lowest cost responsive bid. Low-Emission Vehicle Businesses shall be granted a preference in an amount equal to 5 percent of the lowest cost responsive bid. Off-Peak Hours Delivery Businesses shall be granted a preference in an amount equal to 2 percent of the lowest cost responsive bid. Local businesses (if the procurement is not funded in whole or in part by federal grant funds) shall be granted a preference in an amount equal to 2% of the lowest cost responsive bid. Businesses offering Most Favored Customer

status shall be granted a preference in an amount equal to 2 percent of the lowest cost responsive bid.

- D. Under Request for Proposals, DVBEs, DVBE joint ventures, small businesses, and small business joint ventures shall be awarded ten (10) points in the evaluation process. A non-DVBE or large business shall receive seven (7) points for subcontracting at least twenty-five (25%) of the total contract value to a DVBE and/or small business. Low-Emission Vehicle Businesses shall be awarded five (5) points in the evaluation process. On procurements which are not funded in whole or in part by federal grant funds local businesses shall receive five (5) points. Off-Peak Hours Delivery Businesses shall be awarded two (2) points in the evaluation process. Businesses offering Most Favored Customer status shall be awarded two (2) points in the evaluation process.
- E. SCAQMD will ensure that discrimination in the award and performance of contracts does not occur on the basis of race, color, sex, national origin, marital status, sexual preference, creed, ancestry, medical condition, or retaliation for having filed a discrimination complaint in the performance of SCAQMD contractual obligations.
- F. SCAQMD requires Contractor to be in compliance with all state and federal laws and regulations with respect to its employees throughout the term of any awarded contract, including state minimum wage laws and OSHA requirements.
- G. When contracts are funded in whole or in part by federal funds, and if subcontracts are to be let, the Contractor must comply with the following, evidencing a good faith effort to solicit disadvantaged businesses. Contractor shall submit a certification signed by an authorized official affirming its status as a MBE or WBE, as applicable, at the time of contract execution. SCAQMD reserves the right to request documentation demonstrating compliance with the following good faith efforts prior to contract execution.
 - 1. Ensure Disadvantaged Business Enterprises (DBEs) are made aware of contracting opportunities to the fullest extent practicable through outreach and recruitment activities. For Indian Tribal, State and Local Government recipients, this will include placing DBEs on solicitation lists and soliciting them whenever they are potential sources.
 - 2. Make information on forthcoming opportunities available to DBEs and arrange time frames for contracts and establish delivery schedules, where the requirements permit, in a way that encourages and facilitates participation by DBEs in the competitive process. This includes, whenever possible, posting solicitations for bids or proposals for a minimum of 30 calendar days before the bid or proposal closing date.
 - 3. Consider in the contracting process whether firms competing for large contracts could subcontract with DBEs. For Indian Tribal, State and Local Government recipients, this will include dividing total requirements when economically feasible into smaller tasks or quantities to permit maximum participation by DBEs in the competitive process.
 - 4. Encourage contracting with a consortium of DBEs when a contract is too large for one of these firms to handle individually.

5. Using the services and assistance of the Small Business Administration and the Minority Business Development Agency of the Department of Commerce.
 6. If the prime contractor awards subcontracts, require the prime contractor to take the above steps.
- H. To the extent that any conflict exists between this policy and any requirements imposed by federal and state law relating to participation in a contract by a certified MBE/WBE/DVBE as a condition of receipt of federal or state funds, the federal or state requirements shall prevail.
- I. When contracts are not funded in whole or in part by federal grant funds, a local business preference will be awarded. For such contracts that involve the purchase of commercial off-the-shelf products, local business preference will be given to suppliers or distributors of commercial off-the-shelf products who maintain an ongoing business within the geographical boundaries of SCAQMD. However, if the subject matter of the RFP or RFQ calls for the fabrication or manufacture of custom products, only companies performing 90% of the manufacturing or fabrication effort within the geographical boundaries of SCAQMD shall be entitled to the local business preference. Proposals for legislative representation, such as in Sacramento, California or Washington D.C. are not eligible for local business incentive points.
- J. In compliance with federal fair share requirements set forth in 40 CFR Part 33, SCAQMD shall establish a fair share goal annually for expenditures with federal funds covered by its procurement policy.

ATTACHMENT B



South Coast Air Quality Management District

21865 Copley Drive, Diamond Bar, CA 91765-4178
(909) 396-2000 • www.aqmd.gov

Business Information Request

Dear SCAQMD Contractor/Supplier:

South Coast Air Quality Management District (SCAQMD) is committed to ensuring that our contractor/supplier records are current and accurate. If your firm is selected for award of a purchase order or contract, it is imperative that the information requested herein be supplied in a timely manner to facilitate payment of invoices. In order to process your payments, we need the enclosed information regarding your account. **Please review and complete the information identified on the following pages, remember to sign all documents for our files, and return them as soon as possible to the address below:**

**Attention: Accounts Payable, Accounting Department
South Coast Air Quality Management District
21865 Copley Drive
Diamond Bar, CA 91765-4178**

If you do not return this information, we will not be able to establish you as a vendor. This will delay any payments and would still necessitate your submittal of the enclosed information to our Accounting department before payment could be initiated. Completion of this document and enclosed forms would ensure that your payments are processed timely and accurately.

If you have any questions or need assistance in completing this information, please contact Accounting at (909) 396-3777. We appreciate your cooperation in completing this necessary information.

Sincerely,

Sujata Jain
Asst. Deputy Executive Officer
Finance

DH:tm

Enclosures: Business Information Request
Disadvantaged Business Certification
W-9
Form 590 Withholding Exemption Certificate
Federal Contract Debarment Certification
Campaign Contributions Disclosure
Direct Deposit Authorization



South Coast Air Quality Management District

21865 Copley Drive, Diamond Bar, CA 91765-4178

(909) 396-2000 • www.aqmd.gov

BUSINESS INFORMATION REQUEST

Business Name	
Division of	
Subsidiary of	
Website Address	
Type of Business <i>Check One:</i>	<input type="checkbox"/> Individual <input type="checkbox"/> DBA, Name _____, County Filed in _____ <input type="checkbox"/> Corporation, ID No. _____ <input type="checkbox"/> LLC/LLP, ID No. _____ <input type="checkbox"/> Other _____

REMITTING ADDRESS INFORMATION

Address			
City/Town			
State/Province		Zip	
Phone	() - Ext	Fax	() -
Contact		Title	
E-mail Address			
Payment Name if Different			

All invoices must reference the corresponding Purchase Order Number(s)/Contract Number(s) if applicable and mailed to:

**Attention: Accounts Payable, Accounting Department
South Coast Air Quality Management District
21865 Copley Drive
Diamond Bar, CA 91765-4178**

BUSINESS STATUS CERTIFICATIONS

Federal guidance for utilization of disadvantaged business enterprises allows a vendor to be deemed a small business enterprise (SBE), minority business enterprise (MBE) or women business enterprise (WBE) if it meets the criteria below.

- is certified by the Small Business Administration or
- is certified by a state or federal agency or
- is an independent MBE(s) or WBE(s) business concern which is at least 51 percent owned and controlled by minority group member(s) who are citizens of the United States.

Statements of certification:

As a prime contractor to SCAQMD, (name of business) will engage in good faith efforts to achieve the fair share in accordance with 40 CFR Section 33.301, and will follow the six affirmative steps listed below **for contracts or purchase orders funded in whole or in part by federal grants and contracts.**

1. Place qualified SBEs, MBEs, and WBEs on solicitation lists.
2. Assure that SBEs, MBEs, and WBEs are solicited whenever possible.
3. When economically feasible, divide total requirements into small tasks or quantities to permit greater participation by SBEs, MBEs, and WBEs.
4. Establish delivery schedules, if possible, to encourage participation by SBEs, MBEs, and WBEs.
5. Use services of Small Business Administration, Minority Business Development Agency of the Department of Commerce, and/or any agency authorized as a clearinghouse for SBEs, MBEs, and WBEs.
6. If subcontracts are to be let, take the above affirmative steps.

Self-Certification Verification: Also for use in awarding additional points, as applicable, in accordance with SCAQMD Procurement Policy and Procedure:

Check all that apply:

- | | |
|---|--|
| <input type="checkbox"/> Small Business Enterprise/Small Business Joint Venture | <input type="checkbox"/> Women-owned Business Enterprise |
| <input type="checkbox"/> Local business | <input type="checkbox"/> Disabled Veteran-owned Business Enterprise/DVBE Joint Venture |
| <input type="checkbox"/> Minority-owned Business Enterprise | <input type="checkbox"/> Most Favored Customer Pricing Certification |

Percent of ownership: _____ %

Name of Qualifying Owner(s): _____

State of California Public Works Contractor Registration No. _____. MUST BE INCLUDED IF BID PROPOSAL IS FOR PUBLIC WORKS PROJECT.

I, the undersigned, hereby declare that to the best of my knowledge the above information is accurate. Upon penalty of perjury, I certify information submitted is factual.

NAME

TITLE

TELEPHONE NUMBER

DATE

Definitions

Disabled Veteran-Owned Business Enterprise means a business that meets all of the following criteria:

- is a sole proprietorship or partnership of which is at least 51 percent owned by one or more disabled veterans, or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more disabled veterans; a subsidiary which is wholly owned by a parent corporation but only if at least 51 percent of the voting stock of the parent corporation is owned by one or more disabled veterans; or a joint venture in which at least 51 percent of the joint venture's management and control and earnings are held by one or more disabled veterans.
- the management and control of the daily business operations are by one or more disabled veterans. The disabled veterans who exercise management and control are not required to be the same disabled veterans as the owners of the business.
- is a sole proprietorship, corporation, partnership, or joint venture with its primary headquarters office located in the United States and which is not a branch or subsidiary of a foreign corporation, firm, or other foreign-based business.

Joint Venture means that one party to the joint venture is a DVBE and owns at least 51 percent of the joint venture. In the case of a joint venture formed for a single project this means that DVBE will receive at least 51 percent of the project dollars.

Local Business means a business that meets all of the following criteria:

- has an ongoing business within the boundary of SCAQMD at the time of bid application.
- performs 90 percent of the work within SCAQMD's jurisdiction.

Minority-Owned Business Enterprise means a business that meets all of the following criteria:

- is at least 51 percent owned by one or more minority persons or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more minority persons.
- is a business whose management and daily business operations are controlled or owned by one or more minority person.
- is a business which is a sole proprietorship, corporation, partnership, joint venture, an association, or a cooperative with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign business.

“Minority” person means a Black American, Hispanic American, Native American (including American Indian, Eskimo, Aleut, and Native Hawaiian), Asian-Indian American (including a person whose origins are from India, Pakistan, or Bangladesh), Asian-Pacific American (including a person whose origins are from Japan, China, the Philippines, Vietnam, Korea, Samoa, Guam, the United States Trust Territories of the Pacific, Northern Marianas, Laos, Cambodia, or Taiwan).

Small Business Enterprise means a business that meets the following criteria:

- a. 1) an independently owned and operated business; 2) not dominant in its field of operation; 3) together with affiliates is either:
 - **A service, construction, or non-manufacturer with 100 or fewer employees, and average annual gross receipts of ten million dollars (\$10,000,000) or less over the previous three years, or**
 - A manufacturer with 100 or fewer employees.
- b. Manufacturer means a business that is both of the following:
 - 1) Primarily engaged in the chemical or mechanical transformation of raw materials or processed substances into new products.
 - 2) Classified between Codes 311000 to 339000, inclusive, of the North American Industrial Classification System (NAICS) Manual published by the United States Office of Management and Budget, 2007 edition.

Small Business Joint Venture means that one party to the joint venture is a Small Business and owns at least 51 percent of the joint venture. In the case of a joint venture formed for a single project this means that the Small Business will receive at least 51 percent of the project dollars.

Women-Owned Business Enterprise means a business that meets all of the following criteria:

- is at least 51 percent owned by one or more women or in the case of any business whose stock is publicly held, at least 51 percent of the stock is owned by one or more women.
- is a business whose management and daily business operations are controlled or owned by one or more women.
- is a business which is a sole proprietorship, corporation, partnership, or a joint venture, with its primary headquarters office located in the United States, which is not a branch or subsidiary of a foreign corporation, foreign firm, or other foreign business.

Most Favored Customer as used in this policy means that the SCAQMD will receive at least as favorable pricing, warranties, conditions, benefits and terms as other customers or clients making similar purchases or receiving similar services.

**Request for Taxpayer
Identification Number and Certification**

► Go to www.irs.gov/FormW9 for instructions and the latest information.

**Give Form to the
requester. Do not
send to the IRS.**

Print or type. See Specific Instructions on page 3.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	2 Business name/disregarded entity name, if different from above	
	3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes. <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ► _____ Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner. <input type="checkbox"/> Other (see instructions) ► _____	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ <small>(Applies to accounts maintained outside the U.S.)</small>
	5 Address (number, street, and apt. or suite no.) See instructions.	Requester's name and address (optional)
	6 City, state, and ZIP code	
7 List account number(s) here (optional)		

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number									
				-			-		
or									
Employer identification number									
				-					

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here	Signature of U.S. person ►	Date ►
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting*, later, for further information.

Note: If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States.

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items.

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the instructions for Part II for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships*, earlier.

What is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

a. **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note: ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C corporation, or S corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

d. **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

Line 3

Check the appropriate box on line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3.

IF the entity/person on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation
• Individual • Sole proprietorship, or • Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	Individual/sole proprietor or single-member LLC
• LLC treated as a partnership for U.S. federal tax purposes, • LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or • LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• Partnership	Partnership
• Trust/estate	Trust/estate

Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 7
Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 4
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 5 ²
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

Note: You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note: See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.SSA.gov. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/Businesses and clicking on Employer Identification Number (EIN) under Starting a Business. Go to www.irs.gov/Forms to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to www.irs.gov/OrderForms to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note: Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, 4, or 5 below indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code*, earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor ²
5. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee ¹ The actual owner ¹
6. Sole proprietorship or disregarded entity owned by an individual	The owner ³
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor ⁴
For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity ⁴
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee

For this type of account:	Give name and EIN of:
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships*, earlier.

***Note:** The grantor also must provide a Form W-9 to trustee of trust.

Note: If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records From Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at spam@uce.gov or report them at www.ftc.gov/complaint. You can contact the FTC at www.ftc.gov/idtheft or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see www.IdentityTheft.gov and Pub. 5027.

Visit www.irs.gov/IdentityTheft to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.

2018 Withholding Exemption Certificate**590**

The payee completes this form and submits it to the withholding agent. The withholding agent keeps this form with their records.

Withholding Agent Information

Name _____

Payee Information

Name _____

☐ SSN or ITIN ☐ FEIN ☐ CA Corp no. ☐ CA SOS file no.

Address (apt./sta., room, PO box, or PMB no.) _____

City (if you have a foreign address, see instructions.) _____

State _____

ZIP code _____

Exemption Reason**Check only one box.**

By checking the appropriate box below, the payee certifies the reason for the exemption from the California income tax withholding requirements on payment(s) made to the entity or individual.

☐ **Individuals — Certification of Residency:**

I am a resident of California and I reside at the address shown above. If I become a nonresident at any time, I will promptly notify the withholding agent. See instructions for General Information D, Definitions.

☐ **Corporations:**

The corporation has a permanent place of business in California at the address shown above or is qualified through the California Secretary of State (SOS) to do business in California. The corporation will file a California tax return. If this corporation ceases to have a permanent place of business in California or ceases to do any of the above, I will promptly notify the withholding agent. See instructions for General Information D, Definitions.

☐ **Partnerships or Limited Liability Companies (LLCs):**

The partnership or LLC has a permanent place of business in California at the address shown above or is registered with the California SOS, and is subject to the laws of California. The partnership or LLC will file a California tax return. If the partnership or LLC ceases to do any of the above, I will promptly inform the withholding agent. For withholding purposes, a limited liability partnership (LLP) is treated like any other partnership.

☐ **Tax-Exempt Entities:**

The entity is exempt from tax under California Revenue and Taxation Code (R&TC) Section 23701 _____ (insert letter) or Internal Revenue Code Section 501(c) _____ (insert number). If this entity ceases to be exempt from tax, I will promptly notify the withholding agent. Individuals cannot be tax-exempt entities.

☐ **Insurance Companies, Individual Retirement Arrangements (IRAs), or Qualified Pension/Profit-Sharing Plans:**

The entity is an insurance company, IRA, or a federally qualified pension or profit-sharing plan.

☐ **California Trusts:**

At least one trustee and one noncontingent beneficiary of the above-named trust is a California resident. The trust will file a California fiduciary tax return. If the trustee or noncontingent beneficiary becomes a nonresident at any time, I will promptly notify the withholding agent.

☐ **Estates — Certification of Residency of Deceased Person:**

I am the executor of the above-named person's estate or trust. The decedent was a California resident at the time of death. The estate will file a California fiduciary tax return.

☐ **Nonmilitary Spouse of a Military Servicemember:**

I am a nonmilitary spouse of a military servicemember and I meet the Military Spouse Residency Relief Act (MSRRA) requirements. See instructions for General Information E, MSRRA.

CERTIFICATE OF PAYEE: Payee must complete and sign below.To learn about your privacy rights, how we may use your information, and the consequences for not providing the requested information, go to ftb.ca.gov/forms and search for 1131. To request this notice by mail, call 800.852.5711.

Under penalties of perjury, I declare that I have examined the information on this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. I further declare under penalties of perjury that if the facts upon which this form are based change, I will promptly notify the withholding agent.

Type or print payee's name and title _____ Telephone (____) _____

Payee's signature ► _____ Date _____

2017 Instructions for Form 590

Withholding Exemption Certificate

References in these instructions are to the California Revenue and Taxation Code (R&TC).

General Information

Registered Domestic Partners (RDP) – For purposes of California income tax, references to a spouse, husband, or wife also refer to a Registered Domestic Partner (RDP) unless otherwise specified. For more information on RDPs, get FTB Pub. 737, Tax Information for Registered Domestic Partners.

A Purpose

Use Form 590, Withholding Exemption Certificate, to certify an exemption from nonresident withholding.

Form 590 does not apply to payments of backup withholding. For more information, go to ftb.ca.gov and search for **backup withholding**.

Form 590 does not apply to payments for wages to employees. Wage withholding is administered by the California Employment Development Department (EDD). For more information, go to edd.ca.gov or call 888.745.3886.

Do not use Form 590 to certify an exemption from withholding if you are a **Seller of California real estate**. Sellers of California real estate use Form 593-C, Real Estate Withholding Certificate, to claim an exemption from the real estate withholding requirement.

The following are excluded from withholding and completing this form:

- The United States and any of its agencies or instrumentalities.
- A state, a possession of the United States, the District of Columbia, or any of its political subdivisions or instrumentalities.
- A foreign government or any of its political subdivisions, agencies, or instrumentalities.

B Income Subject to Withholding

California Revenue and Taxation Code (R&TC) Section 18662 requires withholding of income or franchise tax on payments of California source income made to nonresidents of California.

Withholding is required on the following, but is not limited to:

- Payments to nonresidents for services rendered in California.
- Distributions of California source income made to domestic nonresident partners, members, and S corporation shareholders and allocations of California source income made to foreign partners and members.
- Payments to nonresidents for rents if the payments are made in the course of the withholding agent's business.
- Payments to nonresidents for royalties from activities sourced to California.

- Distributions of California source income to nonresident beneficiaries from an estate or trust.
- Endorsement payments received for services performed in California.
- Prizes and winnings received by nonresidents for contests in California.

However, withholding is optional if the total payments of California source income are \$1,500 or less during the calendar year.

For more information on withholding get FTB Pub. 1017, Resident and Nonresident Withholding Guidelines. To get a withholding publication, see Additional Information.

C Who Certifies this Form

Form 590 is certified by the payee. California residents or entities exempt from the withholding requirement should complete Form 590 and submit it to the withholding agent before payment is made. The withholding agent is then relieved of the withholding requirements if the agent relies in good faith on a completed and signed Form 590 unless notified by the Franchise Tax Board (FTB) that the form should not be relied upon.

An incomplete certificate is invalid and the withholding agent should not accept it. If the withholding agent receives an incomplete certificate, the withholding agent is required to withhold tax on payments made to the payee until a valid certificate is received. In lieu of a completed exemption certificate, the withholding agent may accept a letter from the payee as a substitute explaining why they are not subject to withholding. The letter must contain all the information required on the certificate in similar language, including the under penalty of perjury statement and the payee's taxpayer identification number (TIN). The withholding agent must retain a copy of the certificate or substitute for at least five years after the last payment to which the certificate applies, and provide it upon request to the FTB.

If an entertainer (or the entertainer's business entity) is paid for a performance, the entertainer's information must be provided. **Do not** submit the entertainer's agent or promoter information.

The grantor of a grantor trust shall be treated as the payee for withholding purposes. Therefore, if the payee is a grantor trust and one or more of the grantors is a nonresident, withholding is required. If all of the grantors on the trust are residents, no withholding is required. Resident grantors can check the box on Form 590 labeled "Individuals — Certification of Residency."

D Definitions

For California nonwage withholding purposes, **nonresident** includes all of the following:

- Individuals who are not residents of California.
- Corporations not qualified through the California Secretary of State (CA SOS) to do business in California or having no permanent place of business in California.
- Partnerships or limited liability companies (LLCs) with no permanent place of business in California.
- Any trust without a resident grantor, beneficiary, or trustee, or estates where the decedent was not a California resident.

Foreign refers to non-U.S.

For more information about determining resident status, get FTB Pub. 1031, Guidelines for Determining Resident Status. Military servicemembers have special rules for residency. For more information, get FTB Pub. 1032, Tax Information for Military Personnel.

Permanent Place of Business:

A corporation has a permanent place of business in California if it is organized and existing under the laws of California or it has qualified through the CA SOS to transact intrastate business. A corporation that has not qualified to transact intrastate business (e.g., a corporation engaged exclusively in interstate commerce) will be considered as having a permanent place of business in California only if it maintains a permanent office in California that is permanently staffed by its employees.

E Military Spouse Residency Relief Act (MSRRA)

Generally, for tax purposes you are considered to maintain your existing residence or domicile. If a military servicemember and nonmilitary spouse have the same state of domicile, the MSRRA provides:

- A spouse shall not be deemed to have lost a residence or domicile in any state solely by reason of being absent to be with the servicemember serving in compliance with military orders.
- A spouse shall not be deemed to have acquired a residence or domicile in any other state solely by reason of being there to be with the servicemember serving in compliance with military orders.

Domicile is defined as the one place:

- Where you maintain a true, fixed, and permanent home.
- To which you intend to return whenever you are absent.

A military servicemember's nonmilitary spouse is considered a nonresident for tax purposes if the servicemember and spouse have the same domicile outside of California and the spouse is in California solely to be with the servicemember who is serving in compliance with Permanent Change of Station orders.

California may require nonmilitary spouses of military servicemembers to provide proof that they meet the criteria for California personal income tax exemption as set forth in the MSRRA.

Income of a military servicemember's nonmilitary spouse for services performed in California is not California source income subject to state tax if the spouse is in California to be with the servicemember serving in compliance with military orders, and the servicemember and spouse have the same domicile in a state other than California.

For additional information or assistance in determining whether the applicant meets the MSRRA requirements, get FTB Pub. 1032.

Specific Instructions

Payee Instructions

Enter the withholding agent's name.

Enter the payee's information, including the TIN and check the appropriate TIN box.

You must provide a valid TIN as requested on this form. The following are acceptable TINs: social security number (SSN); individual taxpayer identification number (ITIN); federal employer identification number (FEIN); California corporation number (CA Corp no.); or CA SOS file number.

Private Mail Box (PMB) – Include the PMB in the address field. Write "PMB" first, then the box number. Example: 111 Main Street PMB 123.

Foreign Address – Follow the country's practice for entering the city, county, province, state, country, and postal code, as applicable, in the appropriate boxes. **Do not** abbreviate the country name.

Exemption Reason – Check the box that reflects the reason why the payee is exempt from the California income tax withholding requirement.

Withholding Agent Instructions

Do not send this form to the FTB. The withholding agent retains this form for a minimum of five years or until the payee's status changes, and must provide this form to the FTB upon request.

The payee must notify the withholding agent if any of the following situations occur:

- The individual payee becomes a nonresident.
- The corporation ceases to have a permanent place of business in California or ceases to be qualified to do business in California.

- The partnership ceases to have a permanent place of business in California.
- The LLC ceases to have a permanent place of business in California.
- The tax-exempt entity loses its tax-exempt status.

If any of these situations occur, then withholding may be required. For more information, get Form 592, Resident and Nonresident Withholding Statement, Form 592-B, Resident and Nonresident Withholding Tax Statement, and Form 592-V, Payment Voucher for Resident and Nonresident Withholding.

Additional Information

Website: For more information go to ftb.ca.gov and search for **nonwage**.

MyFTB offers secure online tax account information and services. For more information and to register, go to ftb.ca.gov and search for **myftb**.

Telephone: 888.792.4900 or 916.845.4900, Withholding Services and Compliance phone service

Fax: 916.845.9512

Mail: WITHHOLDING SERVICES AND COMPLIANCE MS F182
FRANCHISE TAX BOARD
PO BOX 942867
SACRAMENTO CA 94267-0651

For questions unrelated to withholding, or to download, view, and print California tax forms and publications, or to access the TTY/TDD numbers, see the information below.

Internet and Telephone Assistance

Website: ftb.ca.gov

Telephone: 800.852.5711 from within the United States
916.845.6500 from outside the United States

TTY/TDD: 800.822.6268 for persons with hearing or speech impairments

Asistencia Por Internet y Teléfono

Sitio web: ftb.ca.gov

Teléfono: 800.852.5711 dentro de los Estados Unidos
916.845.6500 fuera de los Estados Unidos

TTY/TDD: 800.822.6268 para personas con discapacidades auditivas o de habla

Certification Regarding Debarment, Suspension, and Other Responsibility Matters

The prospective participant certifies to the best of its knowledge and belief that it and the principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three year period preceding this proposal been convicted of or had a civil judgement rendered against them or commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction: violation of Federal or State antitrust statute or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

I understand that a false statement on this certification may be grounds for rejection of this proposal or termination of the award. In addition, under 18 USC Sec. 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to 5 years, or both.

Typed Name & Title of Authorized Representative

Signature of Authorized Representative Date

☐ I am unable to certify to the above statements. My explanation is attached.



CAMPAIGN CONTRIBUTIONS DISCLOSURE

In accordance with California law, bidders and contracting parties are required to disclose, at the time the application is filed, information relating to any campaign contributions made to South Coast Air Quality Management District (SCAQMD) Board Members or members/alternates of the MSRC, including: the name of the party making the contribution (which includes any parent, subsidiary or otherwise related business entity, as defined below), the amount of the contribution, and the date the contribution was made. 2 C.C.R. §18438.8(b).

California law prohibits a party, or an agent, from making campaign contributions to SCAQMD Governing Board Members or members/alternates of the Mobile Source Air Pollution Reduction Review Committee (MSRC) of more than \$250 while their contract or permit is pending before SCAQMD; and further prohibits a campaign contribution from being made for three (3) months following the date of the final decision by the Governing Board or the MSRC on a donor's contract or permit. Gov't Code §84308(d). For purposes of reaching the \$250 limit, the campaign contributions of the bidder or contractor plus contributions by its parents, affiliates, and related companies of the contractor or bidder are added together. 2 C.C.R. §18438.5.

In addition, SCAQMD Board Members or members/alternates of the MSRC must abstain from voting on a contract or permit if they have received a campaign contribution from a party or participant to the proceeding, or agent, totaling more than \$250 in the 12-month period prior to the consideration of the item by the Governing Board or the MSRC. Gov't Code §84308(c).

The list of current SCAQMD Governing Board Members can be found at SCAQMD website (www.aqmd.gov). The list of current MSRC members/alternates can be found at the MSRC website (<http://www.cleantransportationfunding.org>).

SECTION I.

Contractor (Legal Name): _____

DBA, Name _____, County Filed in _____

Corporation, ID No. _____

LLC/LLP, ID No. _____

List any parent, subsidiaries, or otherwise affiliated business entities of Contractor:
(See definition below).

SECTION II.

Has Contractor and/or any parent, subsidiary, or affiliated company, or agent thereof, made a campaign contribution(s) totaling \$250 or more in the aggregate to a current member of the South Coast Air Quality Management Governing Board or member/alternate of the MSRC in the 12 months preceding the date of execution of this disclosure?

☐

Yes

☐

No

If YES, complete Section II below and then sign and date the form.

If NO, sign and date below. Include this form with your submittal.

Campaign Contributions Disclosure, continued:

Name of Contributor _____

_____	_____	_____
Governing Board Member or MSRC Member/Alternate	Amount of Contribution	Date of Contribution

Name of Contributor _____

_____	_____	_____
Governing Board Member or MSRC Member/Alternate	Amount of Contribution	Date of Contribution

Name of Contributor _____

_____	_____	_____
Governing Board Member or MSRC Member/Alternate	Amount of Contribution	Date of Contribution

Name of Contributor _____

_____	_____	_____
Governing Board Member or MSRC Member/Alternate	Amount of Contribution	Date of Contribution

I declare the foregoing disclosures to be true and correct.

By: _____

Title: _____

Date: _____

DEFINITIONS

Parent, Subsidiary, or Otherwise Related Business Entity (2 Cal. Code of Regs., §18703.1(d).)

- (1) Parent subsidiary. A parent subsidiary relationship exists when one corporation directly or indirectly owns shares possessing more than 50 percent of the voting power of another corporation.
- (2) Otherwise related business entity. Business entities, including corporations, partnerships, joint ventures and any other organizations and enterprises operated for profit, which do not have a parent subsidiary relationship are otherwise related if any one of the following three tests is met:
 - (A) One business entity has a controlling ownership interest in the other business entity.
 - (B) There is shared management and control between the entities. In determining whether there is shared management and control, consideration should be given to the following factors:
 - (i) The same person or substantially the same person owns and manages the two entities;
 - (ii) There are common or commingled funds or assets;
 - (iii) The business entities share the use of the same offices or employees, or otherwise share activities, resources or personnel on a regular basis;
 - (iv) There is otherwise a regular and close working relationship between the entities; or
 - (C) A controlling owner (50% or greater interest as a shareholder or as a general partner) in one entity also is a controlling owner in the other entity.



South Coast Air Quality Management District

21865 Copley Drive, Diamond Bar, CA 91765-4178

(909) 396-2000 • www.aqmd.gov

Direct Deposit Authorization

STEP 1: Please check all the appropriate boxes

- | | |
|--|--|
| <input type="checkbox"/> Individual (Employee, Governing Board Member) | <input type="checkbox"/> New Request |
| <input type="checkbox"/> Vendor/Contractor | <input type="checkbox"/> Cancel Direct Deposit |
| <input type="checkbox"/> Changed Information | |

STEP 2: Payee Information

Last Name		First Name		Middle Initial	Title
Vendor/Contractor Business Name (if applicable)					
Address				Apartment or P.O. Box Number	
City		State	Zip	Country	
Taxpayer ID Number		Telephone Number		Email Address	

Authorization

- I authorize South Coast Air Quality Management District (SCAQMD) to direct deposit funds to my account in the financial institution as indicated below. I understand that the authorization may be rejected or discontinued by SCAQMD at any time. If any of the above information changes, I will promptly complete a new authorization agreement. If the direct deposit is not stopped before closing an account, funds payable to me will be returned to SCAQMD for distribution. This will delay my payment.
- This authorization remains in effect until SCAQMD receives written notification of changes or cancellation from you.
- I hereby release and hold harmless SCAQMD for any claims or liability to pay for any losses or costs related to insufficient fund transactions that result from failure within the Automated Clearing House network to correctly and timely deposit monies into my account.

STEP 3:

You must verify that your bank is a member of an Automated Clearing House (ACH). Failure to do so could delay the processing of your payment. You must attach a voided check or have your bank complete the bank information and the account holder must sign below.

To be Completed by your Bank

Staple Voided Check Here	Name of Bank/Institution		
	Account Holder Name(s)		
	<input type="checkbox"/> Saving <input type="checkbox"/> Checking	Account Number	Routing Number
	Bank Representative Printed Name	Bank Representative Signature	Date
	ACCOUNT HOLDER SIGNATURE:		Date

For SCAQMD Use Only

Input By _____

Date _____